

22278 U.S. PTO  
**10/650234**  
 08/27/03

**Certificate of Mailing By "U.S. Express Mail" Under 37 C.F.R. 1.10(c)**

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I hereby certify that this paper and/or fee is being deposited with the United States Postal Service  
 "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated  
 above and is addressed to the Assistant Commissioner For Patents, P.O. Box 1450, Alexandria 22313-1450

Name: Mary Chow 8/27/03  
 Signature Date

**Docket No.: LUX-P016**

## APPLICATION TRANSMITTAL LETTER

Commissioner of Patents  
 P.O. Box 1450.  
 Alexandria 22313-1450

### **ATTN: MAIL STOP PATENT APPLICATION**

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): **Gunn III, et al.**

Entitled: **"ACTIVE WAVEGUIDES FOR OPTOELECTRONIC DEVICES"**

53 No. pages of specification, including title page, claims and abstract

8 No. sheets of X informal,      formal drawings (Figs. 1-11)

Also enclosed are:

- X Executed Combined Declaration and Power of Attorney for Patent Application
- X An Original Executed Assignment of the Application
- X Form PTO-1595 (Recordation Cover Sheet for Assignment)
- X Request and Certification Form PTO/SB/35 (11-00)
- X Application Data Sheet ( 5 sheets)

### **FEES DUE**

X Applicant Claims Small Entity Status (37 CFR 1.27)

The fees due for filing the application pursuant to 37 C.F.R. 1.16 and for recording the Assignment, if any, are determined as follow:

CLAIMS					
	No. of Claims		Extra Claims	Rate	Fees
Basic Application Fee (\$750 large entity; \$375 small entity)					\$ 375.00
Total Claims	124	Minus 20 =	104	X \$18 =	936.00
				X \$ 9 (small) =	
Total Independent Claims	6	Minus 3 =	3	X \$84 =	126.00
				X \$42 (small) =	
If Multiple Dependent Claims are presented, add \$280.00 or \$140.00(small)					
If Assignment enclosed, add Assignment Recording Fee \$40.00					40.00
<b>TOTAL APPLICATION FEE DUE</b>					<b>\$ 1,477.00</b>

**PAYMENT OF FEES**

The full fee due in connection with this communication is  
and is provided as follows:

\$ 1477.00

       The Commissioner is hereby authorized to charge the fees associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this authorization is enclosed.

  X   A Check No. 0961 for the above-specified full fee is enclosed. However, in case Applicant inadvertently miscalculated any required fee, the Commissioner is hereby authorized to charge the necessary additional amount associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this authorization is enclosed.

**NO 18 MONTHS PUBLICATION**

**REQUEST AND CERTIFICATION UNDER 35. U.S.C. 122(b) (2) (B) (i)**

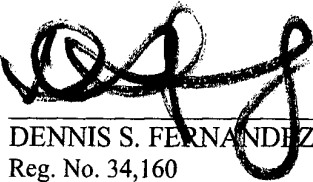
  X   I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen month after filing. **I hereby request that the attached application not to be publish under 35 U.S.C. 122(b).**

This application is filed pursuant to 37 C.F.R. 1.53 in the name of the above-identified Inventor(s).

Please direct all correspondence concerning the above-identified application to the following address:

**FERNANDEZ & ASSOCIATES, LLP**  
**PATENT ATTORNEYS**  
PO BOX D  
MENLO PARK, CA 94026-6204  
(650) 325-4999  
(650) 325-1203: FAX  
EMAIL: *iploft@iploft.com*

Respectfully submitted,

  
\_\_\_\_\_  
DENNIS S. FERNANDEZ, ESQ  
Reg. No. 34,160

8/27/03  
Date

The Commissioner for Patents  
United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450  
**ATTN: Mail Stop Patent Application**

Re: U.S. Utility Patent Application  
Appl. No. (Not yet assigned); Filed 8/27/2003  
For: **Active Waveguides for Optoelectronic Devices**  
Inventor(s): **Gunn III, et al.**  
Docket No.: **LUX-P016**

Sir:

The following documents are forwarded herewith for action by the U.S. Patent and Trademark Office:

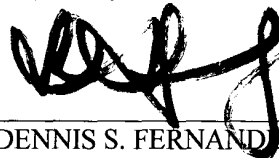
1. U.S. UTILITY APPLICATION  
entitled: **Active Waveguides for Optoelectronic Devices**  
having named inventor(s):  
**Gunn III, et al.**
  - a. a specification consisting:
    - (i) 25 pages prior to the claims, including title page;
    - (ii) 27 pages of claims;
    - (iii) 1 page abstract;
  - b. 8 sheets of **informal** drawings: (FIGs 1-11);
2. An **original, executed** Combined Declaration and Power of Attorney by named inventors;
3. Form PTO-1082 (in duplicate);
4. Cover letter for Assignment (Form PTO-1595)
5. An original, executed Assignment to **LUXTERA, INC.**, executed by named inventors, recordation of which is hereby requested;
6. Request and Certification Form PTO/SB/35 (11-00);
7. Check No. 0961 For \$ 1,477.00 to cover:

Patent application filing fee:	\$ 375.00
Assignment Recordation fee:	\$ 40.00
Excess claims fee:	\$ 1062.00
8. Application Data Sheet( 5 sheets); and
9. A return post card

It is respectfully requested that the attached postcard be stamped with the filing date of the above documents and unofficial application number and returned to the addressee as soon as possible.

8/27/03  
Date

Respectfully submitted,



DENNIS S. FERNANDEZ, ESQ  
Reg. No. 34,160

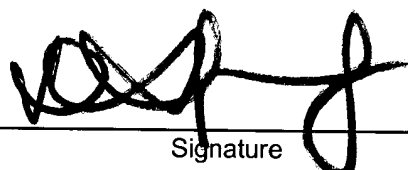
**FERNANDEZ & ASSOCIATES, LLP**  
**PATENT ATTORNEYS**  
PO BOX D  
MENLO PARK, CA 94026-6204  
(650) 325-4999  
(650) 325-1203 FAX  
EMAIL: [iploft@iploft.com](mailto:iploft@iploft.com)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Gunn III, et al.
	Title	Active Waveguides for Optoelectronic Devices
	Atty Docket Number	LUX-P016

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

8/27/01  
Date

  
Signature

Dennis S. Fernandez, ESQ.      Reg. No. 34,160  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent Trademark Office,